

Substitute for Form 1449A/PTO (Modified)

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

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of

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Complete if Known

Application Number

09/717,433

Filing Date

November 20, 2000

First Named Inventor:

Lou Leonardo, et al.

Group Art Unit

2164

Examiner Name

Not yet assigned

Attorney Docket Number

3801.P023

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS


[illegible]Examiner
Signature



Date Considered

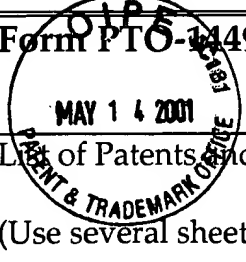
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¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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Form PTO-1449 (Modified)				Atty Docket No.: 003801.P023		Serial No.: 09/717,433	
List of Patents and Publications Statement (Use several sheets if necessary)				Applicants: Lou Leonardo et al. Filing Date: November 20, 2000			
<div style="border: 1px solid black; border-radius: 50%; padding: 10px; display: inline-block; transform: rotate(-45deg); transform-origin: center;"> OIP MAY 14 2001 PATENT & TRADEMARK OFFICE </div>				<div style="text-align: right;"> RECEIVED MAY 16 2001 </div>			
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
				Technology Center 2100			
Exam. Initial		Date	Document Number	Name	Class	Sub-Class	Filing Date
②		11/10/98	5,835,896	Fisher et al.	705	37	3/29/96
		5/25/71	3,581,072	Frederick Nymeyer	235	152	3/28/68
		6/30/87	4,677,552	Sibley, Jr.	364	408	10/5/84
		1/17/89	4,799,156	Shavit et al.	364	401	10/1/86
		2/20/90	4,903,201	Wagner	364	408	11/3/83
		11/5/91	5,063,507	Lindsey et al.	364	408	9/14/90
		3/31/92	5,101,353	Lupien et al.	364	408	5/31/89
		8/4/92	5,136,501	Silverman et al.	364	408	5/26/89
		12/1/92	5,168,446	Wiseman	364	408	5/23/89
		9/7/93	5,243,515	Lee	364	401	10/30/90
②		11/2/93	5,258,908	Hartheimer et al.	364	408	11/2/90
FOREIGN PATENT DOCUMENTS							
No.		Document No.	Date	Country	Name	Class	Sub-Class
②		2,253,543	10/9/97	Canada		—	Y
		9300266	9/1/94	Netherlands		—	
		WO 92/15174	9/3/92	PCT		—	
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)							
②		Thomas W. Malone, Joanne Yates, Robert I. Benjamin, "Electronic Markets and Electronic Hierarchies", Communications of the ACM, June 1987, Vol. 30, Number 6, p. 484-497.					
Cited ok 1477		AUCNET: TV Auction network System, Harvard Business School, 9-190-001, Rev. April 12, 1996, p. 1-15.					
②		Ho Geun Lee, "Electronic Brokerage and Electronic Auction: The Impact of IT on Market Structures", Proceedings of the 29th Annual Hawaii International Conference on System Sciences - 1996, p. 397-406.					
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REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS				
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②		4/19/94	5,305,200	Hartheimer et al.	364	408	11/2/90	
1		6/28/94	5,325,297	Bird et al.	364	419.07	6/25/92	
1		7/12/94	5,329,589	Fraser et al.	379	91	6/3/93	
1		12/20/94	5,375,055	Togher et al.	364	408	2/3/92	
1		2/28/95	5,394,324	Clearwater	364	402	12/8/93	
1		6/20/95	5,426,281	Abecassis	235	379	10/29/93	
1		1/18/94	5,280,422	Moe et al.	364	140	11/5/90	
1		2/10/98	5,717,989	Tozzoli et al.	705	37	10/13/94	
1		12/20/94	5,375,055	Togher et al.	364	408	2/3/92	
1		3/22/94	5,297,032	Trojan et al.	364	408	2/1/91	
1		4/27/93	5,205,200	Wright	91	1	1/9/92	
②		4/6/71	3,573,747	Adams et al.	340	172.5	2/24/69	
FOREIGN PATENT DOCUMENTS								
No.		Document No.	Date	Country	Name	Class	Sub-Class	Trans-lation
②		2658635	2/16/90	France		—	—	
1		WO 97/37315	10/9/97	PCT		—	—	
②		WO 96/34356	10/31/96	PCT		—	—	
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)								
②		Eric K. Clemons, Bruce W. Weber, "Evaluating the Prospects for Alternative Electronic Securities Markets", International Conference on Information Systems, 1991, p. 53-61.						
1		Mardesich, Jodi, "Onsale Takes Auction Gavel Electronic", Computer Reseller News, July 8, 1996, 2 pages.						
②		"Personal Optimized Decision/Transaction Program", IBM Technical Disclosure Bulletin, Vol. 38, No. 1, January 1995, p. 83-84.						
Examiner 				Date Considered 5/31/03				
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REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
Exam. Initial	Date	Document Number	Name	Class	Sub-Class	Filing Date	
2	3/31/92	5,101,353	Lupien et al.	364	408	5/31/89	
	5/25/71	3,581,072	Nymeyer	235	152	3/28/68	
	3/22/94	5,297,031	Guterman et al.	364	408	3/6/90	
	6/16/87	4,674,044	Kalmus et al.	364	408	1/30/85	
	1/20/98	5,710,889	Clark et al.	395	244	6/7/95	
	8/4/92	5,136,501	Silverman et al.	364	408	5/26/89	
	6/17/97	5,640,569	Miller et al.	395	729	4/28/95	
	3/31/92	5,101,353	Lupien et al.	364	408	5/31/89	
	12/6/88	4,789,928	Fujisaki	364	401	1/30/87	
	12/31/91	5,077,665	Silverman et al.	364	408	5/25/89	
3	10/6/98	5,818,914	Fujisaki	379	93.12	3/27/95	

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No.	Document No.	Date	Country	Name	Class	Sub-Class	Translation

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
2	Boon Siong Neo, "The Implementation of an Electronic Market for Pig Trading in Singapore", Journal of Strategic Information Systems, 1992, p. 278-288.
3	Todd E. Rockoff, Michael Groves, "Design of an Internet-based System for Remote Dutch Auctions", Internet Research, ISSN 1066-2243, Vol. 5, Number 4, 1995, p. 10-16.
4	Marcel N. Massimb, Bruce D. Phelps, "Electronic Trading, Market Structure and Liquidity", Financial Analysts Journal, January / February 1994, p. 39-50.

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②		2/28/95	5,394,324	Clearwater	364	402	12/8/93
		9/3/96	5,553,145	Micali	380	30	8/4/95
		9/2/97	5,664,115	Fraser	705	37	6/7/95
		10/20/98	5,826,244	Huberman	705	37	8/23/95
		11/18/97	5,689,652	Lupien et al.	395	237	4/27/95
		12/15/98	5,850,442	Muftic	380	21	3/26/96
		3/10/98	5,727,165	Ordish et al.	395	237	12/27/94
		12/1/98	5,845,266	Lupien et al.	705	37	12/12/95
		8/11/98	5,794,219	Brown	705	37	2/20/96
		10/25/83	4,412,287	Braddock, III	364	408	9/15/82
②		1/17/89	4,799,156	Shavit et al.	364	401	10/1/86

FOREIGN PATENT DOCUMENTS

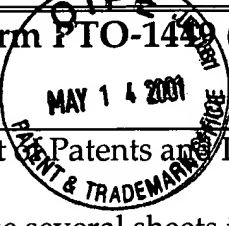
No.		Document No.	Date	Country	Name	Class	Sub-Class	Translation

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

②		"Anonymous Delivery of Goods in Electronic Commerce", IBM Technical Disclosure Bulletin, Vol. 39, No. 03, March 1996, p. 363-366.
/		D. L. Post, S. S. Coppinger, G. B. Sheble, "Application of Auctions as a Pricing Mechanism for the Interchange of Electric Power", IEEE Transactions on Power Systems, Vol. 10, No. 3, August 1995, p. 1580-1584.
②		Christopher M. Hess, Chris F. Kemerer, "Computerized Loan Origination Systems: An Industry Case Study of the Electronic Markets Hypothesis", MIS Quarterly, September 1994, p. 251-275.

Examiner <i>Pezuto</i>	Date Considered <i>5/21/23</i>
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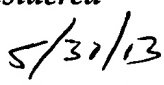
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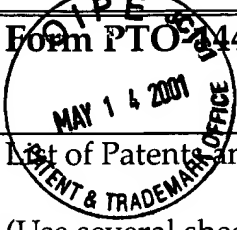



REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
Exam. Initial	Date	Document Number	Name	Class	Sub-Class	Filing Date	
②	2/20/90	4,903,201	Wagner	364	408	11/3/83	
②	9/7/93	5,243,515	Lee	364	401	10/30/90	
②	2/3/98	5,715,402	Popolo	395	237	11/9/95	
②	6/16/87	4,674,044	Kalmus et al.	364	408	1/30/85	
②	6/30/87	4,677,552	Sibley, Jr.	364	408	10/5/84	
②	12/1/92	5,168,446	Wiseman	364	408	5/23/89	
②	4/18/89	4,823,265	Nelson	364	408	5/11/87	

FOREIGN PATENT DOCUMENTS							
No.	Document No.	Date	Country	Name	Class	Sub-Class	Translation

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
②	Martin Reck, "Formally Specifying an Automated Trade Execution System", J. Systems Software, 1993, 21, p. 245-252.
②	Vladimir Zwass, "Electronic Commerce: Structures and Issues", International Journal of Electronic Commerce, Vol. 1, No. 1, Fall, 1996, p. 3-23.
②	Ian Graham, "The Emergence of Linked Fish Markets in Europe, Focus Theme, 4 pages. - no date
②	Ingvar Tjostheim, Jan-Olav Eide, "A Case Study of an On-line Auction for the World Wide Web", 10 pages. - no date
②	Siegmann, Ken, "Nowhere to Go But Up", PC Week, Vol. 12, No. 42, 3 pages. - no date
②	"Onsale Joins Fray as Online Shopping Picks Up Speed: INTERNET BOOMS", Computer Reseller News, June 5, 1995, ISSN 0893-8377, p. 73.

Examiner <div style="text-align: center;">  </div>	Date Considered <div style="text-align: center;">  </div>
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FOREIGN PATENT DOCUMENTS							
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OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)							
		"ONSALE: ONSALE Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet Retail Service Debuts with Week-long Charity Auction for the Computer Museum in Boston", May 24, 1995, 3 pages.					
		Dr. Beat F. Schmid, "Research Issues, "Electronic Markets, Newsletter of the Competence Centre Electronic Markets, No. 9/10, October 93.					
		Stefan Klein, "Introduction to Electronic Auctions", University of Munster, Focus Theme, 4 pages. <i>- no date</i>					
		Efraim Turban, "Auctions and Bidding on the Internet: An Assessment", California State University, Focus Theme, 5 pages. <i>- no date</i>					
		Eric Van Heck, Pieter M. Ribbers, "Experiences with Electronic Auctions in the Dutch Flower Industry", Focus Theme, 6 pages. <i>- no date</i>					
		Martin Reck, "Trading-Process Characteristics of Electronic Auctions", Focus Theme, 7 pages. <i>- no date</i>					
		Ho Geun Lee, "AUCNET: Electronic Intermediary for Used-Car Transactions", Focus Theme, 5 pages. <i>- no date</i>					
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